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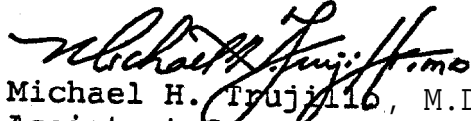
This transmittal forwards Indian Health Manual (IHM) Part 7, Chapter 4, "Human Resource and Organization Development" This chapter revises requirements for the management of Human Resource Development Programs in the Indian Health Service.

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MATERIAL TRANSMITTED

Indian Health Manual, Part 7, Chapter 4, "Human Resource and Organization Development," pages 1-48 and the Table of Contents, pages i-iii.

MATERIAL SUPERSEDED

Indian Health Manual dated 9/21/76, TN No. 76-5. Part 4, Chapter 6, "Training."

MANUAL MAINTENANCE

Insert this chapter in the section reserved for Part 7 Chapter 4, "Human Resource and Organization Development." Make the revisions necessary for all superseded material.

Log and file the Transmittal Notice in sequential order.

HUMAN RESOURCES ADMINISTRATION AND MANAGEMENT

Chapter 4
HUMAN RESOURCE AND ORGANIZATION DEVELOPMENT

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7-4.1   INTRODUCTION

   A.   purpose.

         The purpose of this chapter is to establish
         requirements for the management of Human Resource
         Development Programs in the Indian Health Service
         (IHS).

   B.   Authority. Authority for training and employee
         development programs is set forth in 5(USC), Chapter
         41, (The Government Employees Training Act or GETA), as
         amended, by the Civil Service Reform Act of 1978, and
         the Federal Workforce Restructuring Act of 1993. Other
         authorities include: Executive Order 11348; 1967
         Comptroller General Decision 275; 5 Code of Federal
         Regulations (CFR) 317, 410, and 412; 5 USC 3396; 5 USC
         3397; 5 USC 5364; 5 USC 1104, and 42 USC 4746.
         (Individuals covered under P.L. 94-437 scholarship
         programs, and section 118 nursing programs are not
         covered under this policy.)

   C.   Eligibility.

         (1) Civil Service Employees. Most Federal employees
             are eligible for training activities, such as
             career and non-career employees in grades GS 1
             through 15 positions covered under 5 USC 3104 and
             wage grade equivalents; career and non-career
             employees in the Senior Executive Service (SES);
             and excepted employees hired under the GS.

         (2) Public Health Service Commissioned Officers.
             This chapter does not cover all training issues
             and matters related to commissioned officers in
             the U.S. Public Health Service. Officers should
             consult the Commissioned Corps Personnel Manual
             (CCPM), the Commissioned Corps Handbook and
             Supervisory Guide, or the Director, Division of
             Commissioned Personnel (DCP), when considering
             commissioned officers for training and career
             development programs. Officers are encouraged to
             use the Department of Health and Human Services

(?-4.1C(2)Continued)

(HHS) Form 350 or its electronic equivalent to procure short-term training and to document training activities in their Official Personnel Files.

D. <u>Definitions.</u>

(1) <u>Approval Authority</u>. Approval Authority is the authority to provide employees with training and development as a means of enhancing individual or group performance that contributes to the organization'6 mission. Approval authority includes the authority to assess training needs; select employees for training; manage and provide training within the provisions of 5 U.S.C. Chapter 41; ensure that the training conforms to relevant laws, regulations, and HHS and IHS requirements; and assess the effectiveness of training. [1]

('2) <u>Acquisition Authority</u>. Acquisition Authority is the authority to approve and/or acquire off-the-shelf training for individual employees or groups of employees under the authority of the GETA.

(3) <u>Off-the-Shelf Training</u>. Off-the-Shelf Training is training with standard features and costs established in catalogs **or** other printed material available to the general public, or training offered by an individual consultant or firm where standard features and costs are established based on past practices. Costs of off-the-shelf training do not include employee travel or development of training materials.

(4) <u>Eons-Term Training</u>. Long-term training is training where an employee is permitted to attend training course(s) off site on a full-time basis in excess of 120 consecutive days.

(7-4.1D (4)Continued)

All training in excess of 120 consecutive days requires the approval of the Director, IHS, or his/her designee (for commissioned officers, the Director, DCP, approves). In addition, the need for such training needs to be clearly documented and competitive procedures for placement into such training programs must be in place (see "Long-Term Training" for further guidance).

(5) Full-Time Training. Full-time training is training that is the only assignment of an employee during one or more work days or corresponding days of leave granted solely for the purpose of obtaining the training.

(6) Part-Time Training. Part-time training is training to which an employee is assigned less than 8 hours a day, with the employee reporting to the work site either before or after the training to complete the 8-hour work day.

(7) Training Time. Training time is time during which an employee is assigned to training.

(8) Employee. Employee means any civilian officer or employee covered under section 4101 of Title 5, USC, and any PHS Commissioned Officer covered under Title 42, USC.

(9) Training. Training is a planned process used to increase the knowledge, proficiency, ability, skills, and qualifications employees need to perform their official duties as well as general skills needed to perform the mission of the IHS. Training includes activities that support and improve individual and organizational performance and effectiveness, such as on-the-job training; career development programs; professional development activities; developmental, rotational, or shadow assignments; distance learning; or electronic/computer-based instruction.

(7-4.l(D)Continued)

(10) <u>Employee Development</u>. Employee development is a planned effort to enhance employee performance of present or future duties through participation of the employee in selected learning experiences.

(11) <u>Mission-Related Training</u>. Mission-related training is training that supports the IHS goals by improving organizational performance at any appropriate level in the agency, as determined by the Director, INS. This includes training that:

   a.   Supports the agency's strategic plan and performance objectives.

   b.   Improves an employee's current job performance.

   c.   Allows for expansion or enhancement of an employee's current job.

   d.   Enables an employee to perform needed or potentially needed duties outside the current job at the same level of responsibility.

   e.   Meets organizational needs in response to human resource plans and re-engineering, downsizing, restructuring, and program changes.

(12) <u>Retraining</u>. Retraining means training and development provided to address an individual's skills obsolescence in the current position and/or training and development to prepare an individual for a different occupation at the same or lower grade level within the IHS, in another Government agency, or in the private sector.

(13) -<u>Internal Training</u>. Internal training is training conducted solely for individuals within the IHS.

(7-4.1 (D)Continued)

(14) <u>Executive Development</u>. Executive development is
planned efforts designed specifically for the
continuing development of SES incumbents, flag
rank equivalents, and the systematic development
of candidates for SES. All executive development
is overseen by the IHS Executive Resources Board
and administered by the Division of Human
Resources (DHR), Office of Management Support
(OMS), and the Human Resource and Organization
Development (HR/OD) Officer.

(15) <u>Official Duties</u>. Official duties are authorized
duties that an employee is either currently
performing or could reasonably be expected to
perform in the future.

(16) <u>Continue-in-Service Agreement</u>. Continue-in
Service Agreement is a document that each employee
is required to sign when a particular training
course or developmental program is in excess of 80
hours in length. In such cases, the employee
agrees to remain employed with IHS for a duration
of three times the length of the training. This
applies to all training and development programs.
Commissioned officers have a "two for one" pay
back obligation.

(17) <u>Interagency Training</u>. Interagency training means
training provided by one agency for other agencies
or shared by two or more agencies.

(18) <u>Intergovernmental Training</u>. Intergovernmental
training is Federal Government training that
permits the attendance of employees from State and
local governments, Indian tribes, tribal
organizations, and Alaska Native villages.

(19) <u>Organizational Development</u>. Organizational
Development (OD) is a series of planned
interventions that assist managers and employees
collaboratively in conjunction with a qualified OD
practitioner (externally or internally), in

(7-4.1(D) Continued)

changing the way an organization fundamentally does business to improve customer satisfaction, employee morale, and overall productivity. OD is focused on system-wide or organization-wide improvement approaches, plans, and strategies.

(20) Executive Resources Board (ERB). The ERB is a group that has been delegated the authority by the Director, IHS, to oversee all executive resource and development functions for the metiers of the SES. The ERB oversees all executive level training opportunities as well as candidate programs that lead to promotion into SES level positions within the IHS.

E. Guiding Principles of Human Resource Development. The IHS recognizes that the development of its employees is essential to:

(1) Promoting the efficiency and economy of the agency.

(2) Utilizing the best and most modern practices and techniques to carry out its mission.

(3) Maintaining the highest standards of performance for individuals and organizational units.

(4) Providing for maximum utilization of employee talents and capabilities.

(5) Providing quality customer service and health care to American Indian/Alaska Native (AI/AN) people.

F. Human Resource Development Policy. Given the AI/AN guiding principles stated above, it is the policy of the IHS to:

1. Utilize human resource developmental programs as a means of meeting its need for a skilled workforce.

(7-4.l(F)Continued)

(2)   Achieve the maximum benefit from all resources expended on training and development.

(3)   Provide mission-related training and development to its employees as a means of developing and maintaining a competent, efficient workforce that can respond rapidly and effectively to a changing mission.

(4)   Ensure that employees are informed of and are encouraged to take advantage of opportunities for career development, training, and other developmental and learning experiences.

(5)   Cooperate with other HHS Operating Divisions and Federal department6 in providing interagency training programs to the Federal work force.

(6)   Ensure linkage between performance management systems, human resource development, and training programs by using the performance management process as a basis to identify training and organizational needs as well as to plan developmental activities.

(7)   Refrain from using training to qualify an employee for a position that requires an academic degree or solely to obtain a degree, unless the degree training is for a shortage category specified by the Director, IHS. All regulatory requirements (5 CFR 410.301) must be followed before degree training can be approved. (Individuals covered under P.L. 94-437 scholarship programs and Section 118 nursing programs are not covered under this prohibition.)

(8)   Encourage supervisors, managers, and executives to support individual self development within their organizations.

(7-4.1(F)Continued)

(9)   Use HHS, IHS, and other Government employees to provide training whenever possible and to their fullest possible extent.

(10) Encourage the development of a cadre of trained facilitators, trainers, and organization development practitioners within local service units and Area Offices to provide organization development and training services on a local scale.

(11) Coordinate and manage the broad development of human resources IHS-wide, and to provide technical assistance and consultation to tribally-operated health programs.

(12) Require that all training requests must be approved before the start of training. Exceptions are allowed for very few and specific circumstances (see "Retroactive Approval of Training," Section 7-4.3).

(13) Require that all team leaders, supervisors, managers, and executives take at least 80 hours of training in the first year and at least 40 hours of training in subsequent years. All training must be of a supervisory, managerial, or leadership nature to qualify under this requirement.

(14) Ensure that long-term training is the most cost-efficient and most beneficial approach to training (for civilians and commissioned officers). If long-term training is deemed as necessary, then all eligible employees must be considered for such training. All long-term training must be approved by the Director, IHS, or a designee.

G. Responsibilities.

    (1) The Director, IHS, is responsible for the overall management of organization and human resource development for the entire IHS.

    (2) The Director of Headquarters Operations (DHO), Headquarters Office Directors, Director of Field Operations (DFO), and Area Directors are responsible for ensuring that all human resource development programs in their respective program and administrative areas are implemented.

    They are responsible for:

      a. Ensuring that an annual training and organizational needs assessment is conducted and an annual training plan is developed to ensure linkage with the mission of the IHS, strategic planning, and organizational performance measurements.

      b. Managing organizational resources to meet the priority needs evidenced in the annual training and organizational needs assessments.

      c. Ensuring that training activities are properly managed, administered, evaluated, and coordinated throughout all program and administrative areas.

      d. Establishing appropriate administrative controls, ensuring that organizational training policies and procedures are in conformance with those of HHS, IHS, and Federal regulations, and that the organization's training staff provides guidance and assistance to subordinates who have training responsibilities.

      e. Ensuring that employees are encouraged to apply and are selected for training in

(7-B.1(G)Continued)

accordance with evidenced or projected organizational needs.

(3) Officials Designated to Approve Training. Approving officials are responsible for ensuring that all training meets legal, regulatory, and policy requirements before it is approved.

(4) Director, Division of Human Resources, OMS is responsible for:

a. Serving as the IHS human resources policy program manager.

b. Waiving, in full or in part, continue-in-service agreements.

(5) The HR/OD Officer is responsible for:

a. Serving as program manager for human resource development and organization development programs and initiatives.

b. Providing overall policy guidance on organization and human resource development.

c. Serving as liaison with IHS and HHS Operating Divisions, and HHS Office of the Secretary, HHS Program Support Center, other Federal agencies, private sector corporations, professional societies, and non-profit institutions.

d. Providing consulting services, training, and technical assistance to Headquarters, Area Offices, Service Units, and other IHS components on human resource development policies, procedures, performance improvement, management improvement, and organization development issues in general.

(7-4.1G(5)Continued)

   e.   Designing, developing, and conducting
        training and capacity building programs for
        all IHS employees, as needed.

   f.   Coordinating and providing reports on
        training as requested.

(6) Area Personnel Officers and Training Officials are
    responsible for:

   a.   Assisting managers and supervisors to
        determine their organizational and training
        needs.

   b.   Developing annual training plans to meet
        training needs, identifying resources to meet
        the needs, and conducting or arranging for
        the appropriate training programs and
        activities.

   c.   Providing technical advice and assistance on
        legal, regulatory, and policy requirements on
        training for all individuals within their
        servicing area.

   d.   Assisting managers and supervisors in
        evaluating the effectiveness of training and
        development programs in meeting
        organizational needs.

   e.   Preparing reports on training activities, as
        requested.

   f.   Consulting, as needed, with the HR/OD Officer
        on policies, procedures, and matters
        pertaining to the training of employees in
        their servicing area.

   g.   Apprising the work force of training
        opportunities.

(7-4.1G(6)Continued)

    h.   Establishing appropriate administrative controls to ensure that local training policies and procedures are in conformance with those of the U.S. Office of Personnel Management (OPM), HHS, and the IHS.

    i.   Ensuring that proper documentation of employee training is placed in the Official Personnel Folder (OPF), according to locally established policies and procedures.

(7) Managers and Supervisors are responsible for:

    a.   Developing their employees' knowledge, skills, and abilities to ensure a well-qualified workforce.

    b.   Assessing organizational, employee development, and training needs of their organizations.

    c.   Managing resources to meet the training needs evidenced by performance plans, annual needs surveys, and management initiatives.

    d.   Ensuring that employees have opportunities to participate in career development activities.

    e.   Extending, where feasible, training programs to other organizations in the HHS, employees of other Federal agencies, and non-Federal employees who qualify for intergovernmental training.

    f.   Selecting and assigning employees for training.

    g.   Initiating and concurring on, within delegated authority, an employee's participation and necessary expenditures in training programs.

(7-4.1G(7)Continued)

h. Evaluating the effectiveness of training for
    their employees.

i. Determining the method and extent to which
    their organizational components will support
    training and providing training resources,
    where practicable, to IHS-wide training
    initiatives.

j. Consulting with the local servicing
    Personnel/Training Office to determine the
    alternatives for meeting training needs in
    the most effective and efficient manner.

k. Reporting training needs to the servicing
    Personnel/Training Office and obtaining the
    necessary guidance and assistance from that
    office in carrying out their training
    responsibilities.

(8) Employees are responsible for:

a. Planning their own careers and career
    development.

b. Ensuring that training and related travel
    requests have been approved prior to
    attending training and development
    activities.

c. Completing assigned training, or obtain
    supervisory approval to withdraw from
    training.

d. Repaying funds to the IHS if they fail to
    complete training without supervisory
    approval.

(7-4.1G(8)Continued)

  e. Taking advantage of formal and informal training opportunities (e.g., on-the-job training, computer-assisted instruction, distance learning, developmental assignments).

  f. Ensuring that the training is documented in their OPFs, according to local policies and procedures.

H. Determining Training and Organizational Needs and Developing Organizational Training Plans.

  (1) Annual Needs Assessments: The DHO, Headquarters Office Directors, DFO, and Area Directors must survey employee and organizational training needs annually, and are responsible for ensuring that their organizational components comply with this requirement. The annual survey process should:

  a. Be conducted in a planned and systematic manner.

  b. Be conducted at the local levels to identify specific, local needs and at the agency level to identify general and overall needs.

  c. Be based on a realistic assessment of organizational conditions and operating problems, as well as an overall assessment of the performance of the agency's workforce.

  d. Take into consideration future program and staffing needs and the potential of employees of the agency for advancement within their present occupations or for assignment and advancement within other occupations in the agency.

  e. Provide a reasonable opportunity for employees and employee organizations to express their views on needed training.

(7-Q.lH(l)Continued)

  f. Identify all significant needs, regardless of whether they can be met with available resources.

  g. Represent the conclusions of line management, as well as the views of personnel and training staffs.

  h. Identify existing and projected employee and organizational training needs to provide a realistic basis to plan and direct training activities toward the achievement of IHS organizational goals.

 (2) Existing and projected training needs must include a review of both short-term and long-term, mission-related training goals of the organization and its employees.

 (3) In identifying training needs, managers, supervisors, and personnel/training officers should utilize available data regarding organizational training needs, e.g., results of organizational surveys, personnel data, performance indicators.

 (4) Training needs identified by supervisors and managers as a result of performance planning, review, or appraisal in conjunction with the IHS Performance Appraisal System (PAS) must be included in the annual training needs assessment.

I. Annual Training Plan - The information gathered in the annual needs survey must be used to prepare an annual training plan that will include the following data:

 (1) The types of training needed (e.g., executive, supervisory, computer, technical, clinical, medical, etc.).

 (2) The number of employees needing each type of training.

(7-4,l(f)Continued)

    (3)   The relative priority given to each type of training (with an explanation of the basis for the priority system). Factors that should be considered in establishing training priorities include the following:

        a.   The immediacy of individual and organizational training needs.

        b.   The need to solve pressing management problems by conducting appropriate training.

        c.   The demand for new or emerging programs that require staff training for effective implementation.

        d.   The need to correct performance deficiencies.

        e.   The need to keep abreast of important new technological developments.

    (4)   The training that the organization plans to accomplish in the next fiscal year, including estimate of the funds to be allocated for training in each priority area.

    (5)   The annual training plan must receive local management approval, including budgetary review and support.

    (6)   The plan must be reviewed by the Servicing Personnel Office at least two times per year and revised whenever necessary to meet new needs and changing priorities.

    (7)   The annual training plan must be submitted upon request.

7-4.2   ESTABLISHMENT OF TRAINING PROGRAMS

    A.   Basic Concepts. This document, HHS Instruction 410-1, and 5 CFR 410 and 412 should serve *as* a basis for

(7-4.2(A)Continued)

needed IHS training programs. Appropriate types and methods of training that effectively and economically meet training needs and requirements must be used. All proposals for new, formal group training programs or courses must be reviewed and formally approved by the Servicing Personnel/Training Office or the appropriate delegated approval/acquisition official prior to procuring outside private contractors for such a program or course.

B.   Resources and Funds for Training. The DHO, Headquarters Office Directors, DFO, and Area Directors must provide the resources and funds needed to support training programs and to contribute an equitable share of funds to approved IHS-wide developmental programs.

C.   Selection and Assignment of Employees to Training.

0)   Indian Preference (IP) and selection:

a.   IP does not apply in the case of selection into most training and development programs.

b.   IP is applicable only to those training and development programs established for the purpose of non-competitive promotion or selection into needed positions at a higher grade or different classification series. These programs could include the Career Opportunity Training Agreement (COTA), internships, some management and supervisory development programs, and SES Candidate Development Program.

c.   IP does not apply to the Commissioned Officer Senior Training and Extern Program (COSTEP).

(2)   Assignment. When assigning employees to training, the following factors should serve as general and broad guidelines for consideration:

(7-4.2C(2)Continued)

    a.   The relation of the training to the position, job, and/or IHS mission.

    b.   The employee's need for training.

    c.   The employee's potential for advancement in his/her career or job series.

    d.   The extent to which the employee's performance (knowledge, skills, and abilities) is likely to be improved by training.

    e.   The employee's ability to pass the training benefits on to others upon return to the job.

    f.   The length of time and degree to which the organization expects to benefit from the employee's improved knowledge, skills, abilities, and performance.

    g.   Training opportunities previously afforded to the employee or group of employees by the organization.

    h.   Employee's interest and effort in improving their work.

D.   <u>Selection of Training Institutions</u>. Prior to selecting a vendor, organization, or institution to provide training, the following factors should be considered:

    (1) Accessibility of the institution to disabled employees. Guidelines for accessibility should include:

        a.   Parking for handicapped persons.

        b.   Elevators and ramps, when necessary, and wide doorways to provide access for persons in wheelchairs.

(7-4.2D(l)Continued)

    c.   Rooms of ample size and design for persons using wheelchairs.

    d.   Restroom facilities accessible to handicapped persons.

    e.   Other devices and services that would be of assistance to handicapped persons.

(2)   Accommodations which would enable employees with hearing, visual, coordination, mobility, or communication disabilities to fully participate in training programs. (If a disabled person is to attend the training, the sponsoring institution should be informed well in advance of any need of special accommodations.) These accommodations should include but are not limited to:

    a.   The provision of readers and/or brailled, large print, or taped material for individuals with visual impairments.

    b.   Sign language or oral interpreters for deaf or hearing impaired persons.

    c.   Personal assistance for individuals with coordination or mobility impairments.

(3)   The organization should be certified/qualified to provide the training or consulting services that are requested.

(4)   The organization should not be involved in or support any activity that advocates the overthrow of the U.S. Government or any of its sponsored activities.

(5)   The organization should not discriminate on the basis of racial membership, ethnicity, national origin, 'religious affiliation, or gender.

(7-4.2(D) Continued)

      (6) Costs and quality of alternative training programs.

      (7) Travel and other indirect costs.

E.   <u>Evaluation of Human Resource Development Programs</u>, The DHO, Headquarters Office Directors, DFO, Area Directors, and individuals delegated approval and/or acquisition authorities are responsible for evaluating the effectiveness of supervisory, management, executive, and organization development programs and activities to determine if training is contributing to the economical and efficient achievement of IHS and HHS organizational goals. Such evaluations must:

    (1) Be linked to training needs assessments and training plans.

    (2) Be conducted at least annually and adjustments must be made according to the evaluation results.

    (3) Include a review of the training policies, operations, activities, transactions, and programs of the organization and ascertain whether or not they are conducted in compliance with statutory requirements and OPM, HHS, and IHS regulations and policies.

7-4.3   **RECOMMENDING AND APPROVING TRAINING**

A.   <u>Training Requests</u>. Requests for all training should be submitted on a HHS Form 350 "Training Nomination and Authorization," or its equivalent. Each organization using the HHS Form 350 for group training is held accountable for complying with Privacy Act requirements that Social Security Numbers for all employees in the group not be listed on the same form and subsequently filed in OPFs.

B.   <u>Initiation of Requests</u>. All training requests must be initiated by the employee's supervisor, and approved by an official in the organization who has been delegated

(7-4.3(B)Continued)

approval/acquisition authority.

C. <u>Retroactive Approval of Training</u>. It is IHS policy that all training requests must be approved BEFORE an employee begins training. The following exceptions apply:

(1) When at no fault of the trainee, an "administrative error" took place in the organization. A memo is required to document the particular error before approval/disapproval is made. Each Servicing Personnel/Training Office needs to determine and establish procedures on what constitutes an administrative error. Approval is allowed only when a Continue-in-Service Agreement is NOT required (40 Comptroller General Decision 12 and Comptroller General Decision B-193641, dated August 22, 1979, and Comptroller General Decision B-201425, dated February 26, 1981, and Comptroller General Decision B-187215, dated July 7, 1977). All such cases will be approved on a case-by-case basis.

(2) When an employee would like to document training in the OPF that was self-sponsored and on personal time.

(3) When an employee attended a short briefing (at least 3 hours in length) on a subject matter germane to official duties or the mission of the agency to document attendance at the briefing in the OPF.

D. <u>Clearance Action</u>. The following procedures must be adhered to in clearing HHS Form 350 for use (each Servicing Personnel/Training Office must develop local policies and procedures that are germane to their
. situations) :

(1) The request for training is initiated or initially approved by the employee's immediate supervisor. After endorsement by the required concurring

(7-4.3Dtl)Continued)

        official(s), the nomination is forwarded on to the financial official for determination of funds availability, then forwarded on to the approval official for action.

    (2) Before initiating a request, the supervisor must determine that:

        a.   The training need is valid.

        b.   The proposed method of meeting the need is the most economical and effective means of achieving the desired result.

        c.   The necessary funds and/or other resources required for the training are available.

    (3) Nominations for training are forwarded to the approving official for legal, regulatory, and policy compliance review.

        a.   Nominations for training that are not in compliance with law, regulation, or the policies of the agency will be returned to the initiating official with an explanation.

        b.   In cases concerning the job-relatedness or mission-relatedness, the initiating supervisor will make the initial determination that the training is required for performance of official duties, but the approving official must make the final determination that documentation clearly supports job and/or mission-relatedness.

    E.   <u>Continue-in-Service Agreement Requirement</u>. Prior to the authorization of training, the Continue-In-Service Agreement, which appears on the back of the first page of the DHHS Form 350 (electronic versions may be used), must be completed for ALL training of more than 80 hours in length.

(7-4.3lE)Continued)

This agreement requires the following:

(1) If selected to participate in training of more
     than 80 hours an employee must agree, in writing,
     to continue to work for the IHS for at least 3
     times the length of the training.

(2) When an employee completes training of more than
     80 hours but does not complete the continue-in-
     service requirement, the Servicing Personnel
     Office must either seek reimbursement for the
     training expenditures or seek approval for a full
     or partial waiver of the Continue-In-Service
     agreement from the Director, DHR, OMS.

(3) When an employee transfers to another Federal
     Government agency, the gaining agency notifies the
     IHS of the transfer. If the service obligation is
     transferred, the gaining agency must assure IHS
     that it is fulfilled. However, if the IHS finds
     that the employee will not use the training in the
     new position, it must inform the employee before
     the effective date of the transfer of its
     intention to recover the appropriate amount of the
     additional expenses incurred for training covered
     by the agreement. The IHS must also provide the
     employee with adequate appeal procedures before
     recovery. The percent of additional training
     expenses recovered cannot exceed the proportion of
     the service agreement not completed. The
     completion of recovery relieves the employee of
     the obligation to continue in service of the
     Government.

(4) When an employee voluntarily separates from the
     Government, he/she becomes liable for repayment of
     the additional expenses incurred for training
     covered by the agreement in proportion to the
     percent of the service agreement not completed.
     The employee has a right to reconsideration of the
     amount. A reconsideration consists of verifying
     that the regulation is properly applied and that

(7-4.3E(4)Continued)

the calculation is correct. When an employee voluntarily separates, the IHS may waive, in whole or in part, recovery of training expenses. The employee must submit a letter to the Director, DHR, through the Area Director, requesting a full or partial waiver of the Continue-In-Service agreement with all supporting documentation. Criteria for granting a waiver are:

a. The employee has completed most, but not all, of the required period of service.

b. The employee resigned because of his/her own illness or the serious illness of a member of his/her immediate family.

c. The employee is unable to make payment because of severe financial hardship.

d. The employee has decided to work in an organization that fundamentally and significantly serves AI/AN people. In such cases, the service agreement would be transferred to that organization.

5. When an employee is involuntarily separated based on a reduction-in-force, repayment of training expenses are waived entirely by the IHS. A Continue-In-Service agreement does not commit IHS to continue the employment of any employee under such agreements.

F. Computing Training Time. Although DHHS Form 350 contains brief instructions on computing training time, the following information provides clarification on the subject:

(1) For full-time training, count 8 hours per day or 40 hours per week, for the duration of the training.

(7-4.3F(l)Continued)

(Exclude periods of authorized leave and Federal holidays from the computation of training hours.)

(2) For part-time training, count only the time actually spent in training. This may be determined from course announcements, or in the case of academic instruction, when actual hours of instruction are not apparent, it will be determined by use of the following formula:

1 semester credit hour = 15 classroom hours
1 quarter credit hour   = 10 classroom hours

NOTE: Any training that is not full-time training is considered part-time training.

7-4.4   INTERAGENCY TRAINING

A.   Authority. By Executive Order 11348, *Providing for the Further Training of Government Employees," agency heads are directed to extend [their] own training facilities and services to employees of other agencies... and assign [their] own employees to available interagency training whenever this will result in better training, improved service, or savings to the Government."

(1) The IHS is encouraged to invite members of American Indian/Alaska Native tribes and organizations to agency sponsored training on a space available basis.

(2) Headquarters and Area offices and programs, where possible and when practicable, should coordinate training programs and make them available to all employees IHS-wide.

B.   Objectives of Interagency Training. Interagency training activities supplement agency training programs and the proper sharing of this training will achieve the following objectives:

(7-4.4(B)Continued)

    (1) Promoting economy through more efficient use of training resources.

    (2) Providing a wider range of training programs common to more than one organization.

    (3) Improving the quality of training programs by permitting specialization in training, when an organization has expertise in the area of training being given.

C.   <u>Reimbursement.</u> Agreements for interagency training may be made on a reimbursable basis.

7-4.5   <u>PAYMENT OF TRAINING EXPENSES</u>

A.   <u>TraininG Expenses</u>. IHS organizations are authorized to pay all or part of:

    ('1) Salary, pay, and compensation excluding overtime, night, holiday, or Sunday work) of each employee selected and assigned for training.

    (2) Travel, per diem, and subsistence in accordance with the <u>Joint Federal Travel Regulations</u>, the HHs <u>Travel Manual</u> Chapter l-90, and 5 CFR 630.

    (3) Transportation of immediate family, household goods, and personal effects will be paid when travel and per diem would be payable, provided that the estimated costs of such transportation and related services are less than the estimated aggregate subsistence payments for the period of training.

    (4) Tuition, library, and laboratory services; purchase or rental of books; materials; supplies; and other expenses directly related to training. Payments for tuition and related fees will always be made ,directly to the training institution.

(7-4.5(A)Continued)

    (5) In the case of university and college courses taken on an individual or aggregate basis, employees are required to earn a passing grade in each course (passing grades would be a "C" for undergraduate, a "B" for graduate). At the conclusion of each college course, the employee is required to submit an original grade report to his/her servicing personnel office for verification of completion. If the employee did not receive a passing grade, or did not complete the course without approval, then the employee will be required to reimburse IHS for all materials and tuition costs associated with the course. Commissioned officers need to consult the Director, DCP, for guidance.

    (6) The use of government credit cards for the payment of short-term training is encouraged. The card may be used when a vendor accepts credit cards for payment. However, the following process must be followed without exception:

        a.   When registering a trainee for an off-the-shelf course, a DHHS Form 350 (ARMS IHS 844 or equivalent) needs to be generated and routed through the approval process. In the comments section of the form, it should be noted that funds will be paid via the Government credit card. Also, the cost of tuition, books, and other fees must be noted in total.

        b.   After approval, the trainee must follow the established Government credit card procedures to register and pay for the training.

        c.   All training requests must be submitted to the delegated approving official prior to the obligation. No training will be approved after the fact.

(7-4.5(6)Continued)

d. Courses acquired with personal funds will not
    be reimbursed. The use of the Government
    credit card should eliminate the need to use
    personal funds.

e. ANY travel voucher (local or otherwise)
    submitted to get reimbursement of personal
    funds for training will not be approved.

f. When the credit card holder submits the
    credit card bill for payment, the training
    form number and the name of the trainee must
    be noted next to the charge amount. This
    will assist in expediting proper payment.

g. These instructions do not apply to
    scholarship recipients under the Indian
    Health Care Improvement Act (P.L. 94-4371,
    which would also include nursing students
    under Section 118. For scholarship program
    recipients, the Government credit card may **be**
    used to acquire courses, books, and materials
    without the corresponding HHS Form 350 (IHS
    844).

B. Exceptions. The following three exceptions apply to
    payment of training expenses:

    (1) Headquarters, Area Offices, and Service Units are
        not authorized to pay the costs of training when
        such training is undertaken by the employee as
        part of his/her own plan of self-development for
        the express purpose of obtaining a degree to raise
        his/her educational level, if these objectives
        will not benefit the sponsoring organization, and
        the training is not related to the official duties
        of the employee or the mission of the agency.

    (2) Training expenses do not include membership fees
        except to the extent that such fees are a

(7-4.5B(2)Continued)

necessary cost directly related to the training itself or that payment of membership fees is a condition precedent to undergoing such training.

(3) The IHS may pay for an employee to sit for licensure examinations, and for courses that are refresher or preparatory in nature for licensure, if it is in the best interest of IHS.

C. Records of Training Expenses. Each Headquarters, Area Office, and Service Unit is required to maintain records of payments for travel, tuition, fees, and other necessary expenses of training for at least 2 years.

7-4.6   CONTRIBUTIONS AND AWARDS. (This does not apply to commissioned officers.) Contributions, awards, and payments from non-Government organizations may be made to employees, or made in their behalf, for training in non-Government organizations or for their attendance at meetings in accordance with the provisions of 5 CFR 410. The DHO, Headquarters Office Directors, DFO, and Area Directors can approve the acceptance of such awards and payments. All requirements under the Federal Code,of Ethics must be met. Requests under this policy for approval of each contribution, award, or payment should include the following information:

A.   Name of the employee.

B.   Name of the donor organization.

C.   Amount and nature of the contribution, award, or payment.

D.   Purpose for which the contribution, award, or payment is to be used.

E.   Recommendation concerning the request.

7-4.7   ATTENDANCE AT MEETINGS, CONFERENCES, AND WORKSHOPS.
The IHS endorses the principle that professional
meetings, conferences, and workshops are among the best
means of communicating information about significant
developments in ideas and knowledge. They are also a
means of satisfying continuing education requirements
for professional licenses and certificates.   If
attendance at these activities is for training or
educational purposes, an HHS Form 350 (or electronic
equivalent) is required. The IHS supports employee
participation when it facilitates effective
communication of ideas and information in areas
significant to the IHS's mission and overall operation.
Supervisors should consider the following factors when
approving attendance at meetings, conferences, and
workshops:

  A.   The relationship of the organization's functions
        and mission to the agenda or activity.

  B.   A probable impact of attendance on the conduct,
        supervision, or management of the organization's
        mission.

  c.   Availability of funds to pay for attendance
        without deferring or canceling higher priority
        training commitments.

  D.   Liberal approval of administrative leave when
        training funds cannot be provided.

  E.   Whether a meeting, conference, or workshop is for
        training purposes. This may be determined by
        reviewing the program literature to determine
        whether there are clearly stated learning
        objectives and that a set of learning experiences
        are designed to meet these objectives. Further,
        the meeting, conference, or workshop should **be the**
        best means of meeting the organization's needs.
        When such activity is determined to **be for**
        training and educational purposes, then the
        expense shall be charged as a training cost.

7-4.8   LONG-TERM TRAINING. The following policy and procedures apply to all long-term training (civil service and commissioned corps personnel):

   A.   Policy:

      (1)   The Director (or designee) is the only official who can approve long-term training (for commissioned officers, the Director, Division of Commissioned Personnel, approves).

      (2)   Long-term training is to be used only when it is the most cost-effective means to meet IHS needs. A justification must be made that long-term training is the only means by which employees may obtain needed skills. It is not to be used as an award to an individual employee to improve their educational status, nor to reassign non-productive or unsatisfactory employees out of the organization for a period of time.

      (3)   Long-term training may not be used solely to obtain an academic degree or qualify for a position that requires a degree unless it is necessary to assist in the recruitment or retention of employees in shortage occupational categories. All regulatory requirements must be met as stated in 5 CFR 410.301.

      (4)   All IHS employees who might qualify for long-term training must receive equal opportunity for consideration. Therefore, long-term training must be a competitive process (this includes commissioned officers and civil service employees). Only those considered most likely to successfully complete and make the most effective use of such training should be nominated. To be nominated, the employee's most recent performance appraisal must be at least at the acceptable level.

(7-4.8(A)Continued)

      (5) All long-term training is to be advertised at least 30 days Area-wide or IHS-wide to include all eligible employees.

      (6) Performance plans for employees on long-term training must be modified in accordance with IHS performance management requirements.

      (7) A Continue-in-Service Agreement is required of all employees on long-term training. The IHS will take all available means at its disposal to collect funds due the Government in the event of default of the service obligation.

      (8) IP does not apply for selection into long-term training. IP would only apply if the purpose of the long-term training is to promote the individual employee into a position at a higher grade or into a different classification series.

      (9) Long-Term training is for full-time equivalent employees presently employed by the IHS.

  B.   <u>Procedures.</u> When processing a request for long-term training, program directors, managers, and Headquarters Office and Area Directors must follow the procedures listed below before an individual nominee can be considered for approval by the Director, IHS.

    1.   Before considering whether long-term training is appropriate (this also includes Headquarters programs):

      a.   A written request to the Director, DHR, must be drafted from the Area or Headquarters Office Director requesting review and approval to advertise a long-term training opportunity 120 days before the start of the program. The request must include:

(7-4.8B(l)Continued)

        (i) The purpose of the training and the rationale that long-term training is the best solution. A comparison of other options must be included.

        (ii) A copy of the proposed curriculum or list of courses in the program.

        (iii)All costs associated with the program.

        (iv) An explanation of how this training will be used to further the mission of the IHS and the sponsoring organization or program.

        (v) A copy of the proposed long-term training announcement.

    (2) When a selection is made for the long-term training opportunity, the following procedures must be followed:

        a: To provide adequate processing time and enable participants to complete arrangements for long-term training on a timely basis, nominations (HHS Form 350 or equivalent for civilians and PHS-1122-l for commissioned corps officers) should be submitted to the Director, DHR, through appropriate management channels and the servicing personnel officer, at least 60 days in advance of training. The nomination package must, include:

           (i) A letter requesting approval for the individual to attend the long-term training program.

           (ii) A copy of the long-term training announcement that was used.

(7-4.8B12)Continued)

> (iii)A HHS Form 350 (or ARMS equivalent) or PHS-1122-1 to be signed by the Director, IHS, or Director, DCP, respectively.
>
> (iv) A copy of the nominee's SF-171, curriculum vitae, or resume'.
>
> (v) A copy of the actual curriculum or developmental activities in the program.

> (3) The nominee must not make a commitment related to long-term training until the training request has been officially approved. If arrangements are made and monies expended by the nominee before submitting the request and the request is disapproved, the cost incurred will be borne by the nominee.
>
> (4) Like all training, no long-term training request will be approved retroactively.

7-4.9   REPORTS

Reports will be required as needed by Headquarters, U.S. Office of Personnel Management, Office of Management and Budget, and HHS Assistant Secretary for Management and Budget, the White House, or the Congress.

PART II: Succession Planning and Development Programs for Leadership (Supervisory, Management, and Executive Level) Positions (5 U.S.C. 3396, 3397, 4100, and 5 CFR 410, 412 and 317).

7-4.10   INTRODUCTION TO SUCCESSION PLANNING AND DEVELOPMENT

   A.   Background. Office of Personnel Management (OPM) regulations issued September 4, 1996, established new minimum requirements for formal Senior Executive Service Candidate Development Programs (SESCDP) and

(7-4.10(A)Continued)

other systematic supervisory and management development programs. The regulations also require that each agency conducting such programs (also called succession planning and development programs) have a written OPM-approved policy describing the program operations. The regulations also provide for agencies to initiate candidate and systematic development for supervisors and managers below the SES level. This policy was approved by OPM on September 4, 1998.

B.   Purpose. The purpose of this section is to provide guidance to IHS senior managers to develop a prepared cadre of professional managers to take over numerous IHS leadership positions at the supervisory, management, and executive levels, when those positions become vacant.

7-4.11   POLICY

A.   The IHS will promote effective management and leadership by identifying individuals with leadership potential and developing appropriate and needed skills and agency perspective to assume supervisory, management, and executive level positions in Headquarters; Area Offices, and Service Units and other leadership positions.

B.   The IHS recognizes that succession planning and development programs are one way to identify and develop executives and leaders.

C.   The IHS authorizes the DHO, Headquarters Office Directors, the DFO, and Area Directors to conduct formal succession planning and development programs for all management and supervisory levels below the SES level to fill intended supervisory and management vacancies within their areas of responsibility.

D.   Graduates of IHS succession planning and development programs will be considered for vacancies before selection of applicants who did not graduate from succession planning programs. However, program

(7-4.11(D) Continued)

graduates are not guaranteed selection into any supervisory, management, or executive level position.

E. All candidates will sign a Continue-in-Service Agreement agreeing to serve the IHS for three times the amount of training completed. Signing an agreement is a condition for entrance into any candidate or succession planning program. Commissioned officers need to follow CCPM regulations regarding pay back obligations.

7-4.12 **RESPONSIBILITIES**

A. The Director, IHS, is responsible for:

(1) Monitoring executive staffing levels and availability of skilled executives as part of strategic and succession planning.

(2) Providing for the systematic development of individuals for advancement to executive, management, and supervisory positions and determining the role formal succession planning and development programs will play in that development.

(3) Identifying and selecting candidates for the IHS SESCDP consistent with merit systems principles.

(4) Ensuring that "certified" SES candidates are given consideration for SES positions for which they are technically qualified in the IHS as vacancies occur.

B. The IHS Executive Resources Board (ERB)is responsible for:

(1) Establishing and overseeing the IHS SESCDP and other programs for the executive level consistent with law, regulations, and HHS and IHS requirements.

(7-4.1Z(B)Continued)

(2) Overseeing and conducting the merit staffing process for the IHS SESCDP.

(3) Approving Individual Development Plans (IDP) for SES candidates.

(4) Selecting or approving selections of senior advisors or mentors for SES candidates, and determining mentor training needs.

(5) Monitoring the performance of SES candidates **and** developmental providing guidance throughout the period.

(6) "Certifying" successful completion of SES **candidate's** IDPs and their acquisition of the executive core qualifications required for entry into the SES.

(7) Terminating program participation based on unacceptable performance, failure to complete a program in a designated time frame, or at SES candidate's request.

c. Headquarters and Area Office Leadership Development Boards (LDB) are responsible for:

(1) Establishing and overseeing all leadership development programs, especially Headquarters and **Area-wide** succession planning and development programs below the SES level consistent with law, regulations, HHS, and IHS requirements.

(2) Overseeing and conducting the merit staffing process for HQ and Area Office succession planning and development programs.

(3) Approving IDPs **for** succession planning and development candidates.

(4) Selecting or approving selections of senior advisors or mentors for candidates, and

(7-4.12(C)Continued)

determining mentor training needs.

(5)   Monitoring the performance of candidates and providing guidance throughout the developmental period.

(6)   "Certifying" successful completion of program participant IDPs.

(7)   Terminating a candidate's participation based on unacceptable performance, failure to complete a program in a designated **time** frame, or at the candidate's request.

D.   Senior Advisors or Mentors (for all succession planning and development Programs) are responsible for:

(1)   Preparing for service as a mentor by completing such orientation, training, or independent reading as required.

(2)   Providing general career counseling and guidance to SES candidates and other candidates on preparing for the SES and subordinate leadership positions.

(3)   Recommending developmental activities to be included in candidates IDPs.

(4)   Serving as a liaison with other executives, managers, and supervisors to facilitate candidates' access to training and developmental assignment opportunities.

E.   Candidates (for all candidate programs) are responsible for:

(1)   Seeking guidance from mentors, the ERB (for SES candidates), HQ and Area LDBs, and other officials as needed throughout the developmental period.

(7-4.12(E)Continued)

(2) Completing one or more competency-based needs assessments and developing an IDP based on the results of that assessment.

(3) Completing all IDP activities in a timely manner. Keeping the appropriate board apprised of progress and securing board approval for any significant modifications to the IDP.

F.   Director, Division of Human Resources, Office of Management Support is responsible for:

(1) Developing IHS-wide policies and procedures for conducting formal succession planning and development programs and obtaining U.S. Office of Personnel Management approval of the IHS SESCDP.

(2) Reviewing, approving, and directing modifications to HQ and Area level candidate programs to ensure program effectiveness and compliance with IHS and OPM requirements.

(3) Reviewing requests for OPM Qualifications Review Board (QRB) certification of executive qualifications and submitting them to OPM for action.

G.   Human Resource and Organization Development Officer (HR/OD) is responsible for:

(1) Directing, coordinating, and managing the IHS SESCDP.

(2) Consulting Area Offices in the development of succession planning and development programs below the SES level.

H.   The Director of Headquarters Operations (DHO), Director of Field Operations (DFO), and Area Directors (AD) are responsible for:

(7-4.12(H)Continued)

    (1) Establishing and administering succession planning and development programs for supervisory and management levels below the SES in Headquarters and Area Offices.

    (2) Establishing Headquarters and Area Leadership Development Boards to oversee succession planning and development programs below the SES level. These boards will consist of at least four members of Headquarters or Area senior leadership, the servicing personnel/training officer, the EEO Officer, and anyone else who would have knowledge of leadership development.

7-4.13   REQUIREMENTS FOR ALL SUCCESSION PLANNING AND DEVELOPMENT PROGRAMS

    A.   Duration: Succession Planning and Development Programs will last a minimum of 1 year and a maximum of 2 years. Each candidate will have a documented starting and ending date for the program. The starting date will be the date that the candidate's developmental activities begin and the ending date will be the date the candidate completes all IDP activities. For SES candidates, the ERB certifies completion. Other candidates will need their respective Headquarters or Area LDB to certify completion. For candidates who do not successfully complete the program, the ending date will be the date of termination from the program.

    B.   Frecuency: Succession Planning and Development Programs at and below the SES level may be announced no more than once in a 12 month period.

    C.   Recruitment: The minimum recruitment area for succession planning programs is "Federal Employees with Indian Preference Nationwide.@ Recruitment efforts must take into consideration the goal to achieve the most diversified workforce possible.

D. <u>Vacancy Announcements</u>: All program vacancy announcements must be open a minimum of 30 days. A list of information that must be included in the announcement is listed below. All announcements for the SESCDP must be entered into OPM's electronic Federal Job Opportunities Listing. All vacancy announcements must include:

   (1) Opening and closing dates (minimum of 30 calendar days).

   (2) Area of Consideration:

      a. Federal Employees with Indian Preference Nationwide."

      b. For SES CDP: open to "GS-15 and equivalents only" or open to GS-14 and GS-15 and equivalents." For all other programs: "Open to GS-9-13 and equivalent."

7-4.14 <u>SELECTION</u>: All selections must follow merit staffing procedures. The number of selections must be consistent with the number of anticipated leadership vacancies.

7-4.15 <u>SENIOR ADVISORS OR MENTORS</u>: Each individual selected for succession planning and developmental programs must have an assigned mentor in a managerial and/or senior level position (an SES member for SES candidates). The role of the mentor is to assist the candidate and provide guidance during the developmental process. The mentor need not be in the same organization as the candidate and to the extent possible, should generally be outside the candidate's line of authority (someone other than a first or second-level supervisor). In all cases, selections of mentors should take into account the developmental needs of the individual candidates and try to-match candidates and mentors accordingly.

   A. <u>For SES CDP</u>: Mentors may be selected by the ERB, the Director, or by the candidate with ERB concurrence. Consultation between the ERB, appointing authority, and candidate is strongly encouraged.

(7-4.is(A)Continued)

Before permitting an SES member to serve as a mentor,
the EBB will consider the member's prior experience and
training in facilitating and coaching and prescribe
additional orientation, training, or independent
reading on mentoring to the extent it is necessary.

B.   All other programs: Mentors may be selected by a HQ and
Area Leadership Development Board, the participant,
and/or the participant's supervisor. Each mentor must
attend a course or orientation on mentoring once
selected.

7-4.16   Individual Needs Assessments: Prior to beginning the
developmental process, each candidate will complete one
or more competency-based needs assessments to determine
which executive core qualifications need to be
developed or strengthened during the program. Such
assessments may include, but are not limited to, USDA.
Graduate School's Leadership Excellence Inventory
(LEI), Benchmarks,.Skillscope, Myers-Briggs Type
Indicator (MBTI), assessment centers, etc.

7-4.17   DEVELOPMENTAL ACTIVITIES AND TRAINING REQUIREMENT'S

A.   Individual Development Plans (IDP). Based on the
results of the competency-based need6 assessment, each
candidate will develop an IDP that reflects education,
training, and planned developmental activities (the IDP
should not repeat previous education, training, and
Skills attained on the job). The IDP is to be prepared
in coordination with the candidate's mentor and
supervisor of record, and must be approved by the ERB
or Area Leadership Development Board. At a minimum,
each plan must include:

(1) An initial orientation session. The purpose of
the orientation is to familiarize candidate6 with
program requirements, policies, and expectations,
and provide interaction with senior management
officials. In addition, it is to promote a
corporate identity, an exchange of idea6 among IHS
executives, managers, and supervisors, and to

(7-4.17A(1)Continued)

highlight IHS priorities and initiatives. The orientation must include a briefing or presentation by an IHS senior management official.

(2) A formal interagency training experience: To satisfy the minimum requirement, the training must be at least 80 hours (2 full weeks) in duration and include interaction with a wide mix of Federal employees outside of the IHS and HHS, but may also include managers from State and local government and the private sector. The nature and scope of the training must have Government-wide or multi-agency applicability. Internal IHS-sponsored training does not meet this requirement. Any training from the USOPM Management Development Centers, Federal Executive Institute (for GS-15s and equivalent), or USDA Graduate School would meet this requirement.

(3) Developmental assignments designed to broaden the candidates' experience and/or increase knowledge of the functions of the IHS and/or the HHS. To satisfy the minimum requirement, two or more assignments may be used but they must total at least 8 months (32 weeks) of full-time service and must be outside the candidate's position of record. Assignments should take into consideration each candidate's work history and specific developmental objectives, and should generally be in an area in which the candidate has little or limited experience. All developmental assignments are to be documented with an approved HHS Form 350 or equivalent.

a.   SES candidates need to consider at least one activity outside of the IHS such as serving on a congressional staff or committee, working in another Federal department or agency, the White House, National Indian Health Board, or Indian organizations serving the health needs of AI/AN people. An assignment may be at Headquarters or an Area

(7-4.17(3)Continued)

office, but the assignment must be at the executive level.

b. For other candidate development programs, assignments must be at the equivalent level of the intended level of development. The developmental assignments can be done locally outside the candidate's position of record or within another Federal agency.

(4) Supplemental Training and Development Activities. Depending on each candidate's needs and objectives, the IDP may include additional developmental training and activities. These may include internal or external training in specialized fields (e.g., financial management, information technology, media relations, tribal relations, health care management); rotations or shadow assignments to other functional or program areas; participation on various committees, task forces, or working groups; or completion of special case studies, projects, and initiatives.

B. Evaluation of Candidate Progress. At periodic intervals, but at least every 6 months, each candidate's performance and progress in completing **IDP** activities will be reviewed. Such *review* will be documented on the **IDP.**

(1) The ERB will review SES candidates' IDPs at least every 6 months to ensure completion of agreed upon activities.

(2) Other programs will be reviewed and evaluated by the HQ and Area Leadership Development Boards.

C. Certification of Completion of Candidate Development Prosrams.

(1) SES candidates need to submit a letter to the Chair, ERB, stating that they have completed all

(7-4.17(C)Continued)

requirements in their IDP. This letter needs to be submitted within 9 months of a candidate's successful completion of the program. The ERB will forward a memo **to** the Director, IHS, stating the candidate has successfully completed their program and will seek certification of executive core qualifications by an OPM Qualifications Review Board (QRB).

(2) Other candidates need to submit a letter to their respective Leadership Development Boards stating completion of all activities in the IDP. The Area Personnel Office will issue a certificate of completion to the candidate.

D. <u>Termination</u>. A candidate's participation in a succession planning program will automatically terminate upon separation from the IHS. Participation may also be terminated at the candidate's request or by action of the ERB for the SES CDP. When initiated by the ERB, HQ or Area Management Development Board, DHO, Area Director, or program manager, the termination must be based on unacceptable performance or failure to complete program requirements in the designated time frame, and the candidate must be given a written notice that includes the effective date and reason for program termination. Termination of a candidate's program participation is not subject to adverse action procedures. A candidate's employment status will not be affected once terminated from the program.

7-**4.18** <u>PROCEDURES FOR SUCCESSION PLANNING PROGRAMS</u>

A. <u>Establishment of Programs</u>.

(1) <u>SES Candidate Development Program</u>: The Division of Human Resources will notify OPM prior to establishing and announcing an SES Candidate Development Program. The notice will include:

a. The proposed announcement date(s).

(7-4.18(A)Continued)

        b.   The tentative number of candidates to be selected and how that number was derived (e.g., tied to anticipated vacancies).

        c.   The competency-based needs assessment(s) that will be administered to candidates prior to developing their IDPs;

        d.   The basic developmental activities that will be required of all program candidates (e.g., OPM--FE1 and MDC, ,USDA Graduate School, IHS, and Area specific requirements), including the 80-hour (2 week) course(s) from which candidates may choose to fulfill the core interagency training requirement.

  (2) <u>All Programs under the SES level</u>: 10 days prior to establishing and announcing succession planning and development programs, Area Personnel Offices must provide written notice to the Director, DHR. The notice must identify:

        a.   The proposed announcement date(s).

        b.   The tentative number of candidates to be selected, and how that number was derived e.g., tie to anticipated supervisory and management vacancies).

        c.   The area of consideration (i.e., Area-wide).

        d.   The competency-based needs assessment(s) that will be administered to candidates prior to developing their IDPs.

        e.   The basic developmental activities that will be required of all candidates.

  3. <u>Notification Following Program Entry or Termination</u>. Following formal announcement of a program and selection of 'candidates under merit staffing procedures, Area Offices must notify the Director, DHR,

(7-4.18tB)Continued)

in writing of the selections within 10 days prior to the start of the program. In addition, Area Offices must notify the Director, DHR, when a candidate's participation in the program is terminated. This notification must be received within 10 days after termination effective date.

C. Submission of Cases for Qualifications Review Board (ORB) Certification (SES Candidates Only). No later than 9 months after a candidate's successful completion of a formal SES CDP, the candidate must submit a written request to the Chair, ERB, to seek certification of completion of the program. After ERB certification of completion, the ERB Chair should notify the Director, IHS, in writing of the candidate's program completion. The Director, DHR, coordinates a request to OPM for certification of the candidate's executive qualifications by an OPM QRB. The request must include the following-

(1) A memorandum, signed by the Chair, ERB, certifying that the candidate has successfully completed all developmental requirements under the Candidate Development Program and has demonstrated the executive core qualifications required for entry into the SES.

(2) An OPM Form 1390 (Executive Personnel Transaction) requesting precertification of executive qualifications (item I.B.12-other), and including the dates and OPM control number of the vacancy announcement under which the candidate was selected; the date the candidate began the program (starting date); and the date the candidate completed the program as certified by the ERB (ending date).

(3) A brief (one-page or less) resume or summary of the candidate's managerial experience.

(4) A copy of the candidate's completed IDP, signed by the candidate, mentor, and Chair of the ERB.

(7-4.18(C)Continued)

        (5) A separate summary of the candidate's
accomplishments during the developmental period
that describes specific program requirements; the
courses, assignments, or activities used to
satisfy the specific requirements; and how the
courses, assignments, or activities contributed to
the candidate's development of one or more of the
executive core qualifications required for entry
into the SES.

    D.   <u>APProval Notification</u>. Upon approval by OPM QRB the
Division of Human Resources will notify the candidate
and forward the candidate's formal Certificate of
Executive Qualifications'.